

REMARKS

All pending claims were rejected on the grounds of double patenting and anticipation and/or obviousness with respect to Patent No. 6,245,227. A provisional double patenting rejection and/or rejection over art was entered with respect to Application SN 09/970,718.

Attached hereto as Exhibit A is a packet of documentation with respect to the '227 patent which includes a petition to correct inventorship by addition of Gary Schultz, Thomas Corso, and Stephen Lowes as inventors. Also in this packet is an assignment from Kionix, Inc. to Advion Biosciences, Inc. of a full, joint and undivided right, title and interest in this patent.

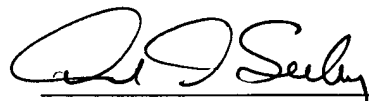
Attached hereto as Exhibit B is a copy of a notice of express abandonment with respect to the cited patent application.

In view of identical ownership in the present application and in the '227 patent, a terminal disclaimer is provided herewith in satisfaction of the double patenting rejection. The petition to correct inventorship renders moot the Examiner's rejection based on different inventors in the two cases.

Applicants respectfully request that this application be allowed.

DATED this 25th day of November, 2003

Respectfully submitted,



David O. Seeley, Reg. No. 30,148
Customer No. 34013
Holme Roberts & Owen LLP
299 South Main, Suite 1800
Salt Lake City, UT 84111
(801) 521-5800

Serial Number: 09/698,329

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.
Patent No. : 6,245,227 B1
Issued : June 12, 2001
Serial No. : 09/156,037
Filed : September 17, 1998
For : INTEGRATED MONOLITHIC
MICROFABRICATED
ELECTROSPRAY AND LIQUID
CHROMATOGRAPHY SYSTEM AND
METHOD

Examiner:

Art Unit:

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Transmitted herewith in the above-identified issued patent are:

- [X] Petition For Correction of Inventorship in Patent Under 37 C.F.R. § 1.324 (a).
- [X] Statement of Gary A. Schultz.
- [X] Statement of Thomas N. Corso.
- [X] Statement of Stephen Lowes.
- [X] Statement of James E. Moon.
- [X] Statement of Timothy J. Davis.
- [X] Statement of Gregory J. Galvin.
- [X] Statement of Thomas R. Kurz on Behalf of Advion BioSciences, Inc.
- [X] Statement of Gregory J. Galvin on Behalf of Kionix, Inc.
- [X] Copy of the assignment from Gary A. Schultz, Thomas N. Corso, and Stephen Lowes to Advion BioSciences, Inc.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees	:	Moon et al.)	Examiner:
Patent No.	:	6,245,227 B1)	
Issued	:	June 12, 2001)	Art Unit:
Serial No.	:	09/156,037)	
Filed	:	September 17, 1998)	
For	:	INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD)	

PETITION FOR CORRECTION OF INVENTORSHIP IN PATENT
UNDER 37 C.F.R. § 1.324(a)

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

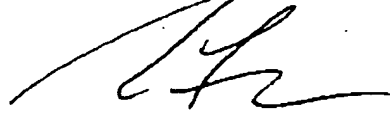
Dear Sir:

Pursuant to 37 C.F.R. § 1.324(a), patentees hereby petition for the addition of Gary A. Schultz, Thomas N. Corso, and Stephen Lowes as co-inventors of the above-identified patent. At the time of filing the above-identified application, Gary A. Schultz, Thomas N. Corso, and Stephen Lowes were erroneously omitted as inventors. As set forth in the attached Statement of Gary A. Schultz, Statement of Thomas N. Corso, and Statement of Stephen Lowes, such error arose without deceptive intent on the part of Gary A. Schultz, Thomas N. Corso, and Stephen Lowes.

This petition is additionally accompanied by the written consent of inventors James E. Moon, Timothy J. Davis, and Gregory J. Galvin, the written consent of assignees Kionix, Inc. and Advion BioSciences, Inc., to the correction of

inventorship, and the requisite fee of \$130.00 as set forth in 37 C.F.R. § 1.20(b). Any additional fees may be charged to deposit account No. 02-0910.

Respectfully submitted,



Date: 10/17/07

Michael F. Brown
Registration No. 29,619
Attorney for Patentees

Brown & Michaels, P.C.
400 M&T Bank Building
118 North Tioga Street
Ithaca, New York 14850-4343
Telephone: (607) 256-2000
Facsimile: (607) 256-3628

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.
Patent No. : 6,245,227 B1
Issued : June 12, 2001
Serial No. : 09/156,037
Filed : September 17, 1998
For : INTEGRATED MONOLITHIC
MICROFABRICATED
ELECTROSPRAY AND LIQUID
CHROMATOGRAPHY SYSTEM AND
METHOD

Examiner:

Art Unit:

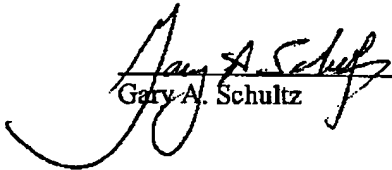
STATEMENT OF GARY A. SCHULTZ

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

I, GARY A. SCHULTZ, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a). At the time of filing the above-identified patent application, I was erroneously omitted as an inventor. This error arose without deceptive intent on my part.

Date: 16 Oct 2003



Gary A. Schultz

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.
Patent No. : 6,245,227 B1
Issued : June 12, 2001
Serial No. : 09/156,037
Filed : September 17, 1998
For : INTEGRATED MONOLITHIC
MICROFABRICATED
ELECTROSPRAY AND LIQUID
CHROMATOGRAPHY SYSTEM AND
METHOD

Examiner:

Art Unit:

STATEMENT OF THOMAS N. CORSO

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

I, THOMAS N. CORSO, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a). At the time of filing the above-identified patent application, I was erroneously omitted as an inventor. This error arose without deceptive intent on my part.

Date:

16 Oct 03



Thomas N. Corso

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.
Patent No. : 6,245,227 B1
Issued : June 12, 2001
Serial No. : 09/156,037
Filed : September 17, 1998
For : INTEGRATED MONOLITHIC
MICROFABRICATED
ELECTROSPRAY AND LIQUID
CHROMATOGRAPHY SYSTEM AND
METHOD

Examiner:

Art Unit:

STATEMENT OF STEPHEN LOWES

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

I, STEPHEN LOWES, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a). At the time of filing the above-identified patent application, I was erroneously omitted as an inventor. This error arose without deceptive intent on my part.

Date: 17 Oct 2003


Stephen Lowes

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.
Patent No. : 6,245,227 B1
Issued : June 12, 2001
Serial No. : 09/156,037
Filed : September 17, 1998
For : INTEGRATED MONOLITHIC
MICROFABRICATED
ELECTROSPRAY AND LIQUID
CHROMATOGRAPHY SYSTEM AND
METHOD

Examiner:

Art Unit:

STATEMENT OF JAMES E. MOON

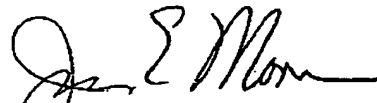
Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

I, JAMES E. MOON, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a) and state that I have no disagreement with the requested correction of inventorship, as set forth in this petition, adding Gary A. Schultz, Thomas N. Corso, and Stephen Lowes as co-inventors.

Date:

10/13/03


James E. Moon

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees : Moon et al.
Patent No. : 6,245,227 B1
Issued : June 12, 2001
Serial No. : 09/156,037
Filed : September 17, 1998
For : INTEGRATED MONOLITHIC
MICROFABRICATED
ELECTROSPRAY AND LIQUID
CHROMATOGRAPHY SYSTEM AND
METHOD

Examiner:

Art Unit:

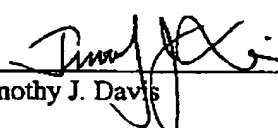
STATEMENT OF TIMOTHY J. DAVIS

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

I, TIMOTHY J. DAVIS, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a) and state that I have no disagreement with the requested correction of inventorship, as set forth in this petition, adding Gary A. Schultz, Thomas N. Corso, and Stephen Lowes as co-inventors.

Date: 10.17.03



Timothy J. Davis

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees	:	Moon et al.	}	Examiner:
Patent No.	:	6,245,227 B1		Art Unit:
Issued	:	June 12, 2001		
Serial No.	:	09/156,037		
Filed	:	September 17, 1998		
For	:	INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD		


STATEMENT OF GREGORY J. GALVIN

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

I, GREGORY J. GALVIN, hereby submit this statement in support of patentees' Petition for Correction of Inventorship in Patent Under 37 C.F.R. § 1.324(a) and state that I have no disagreement with the requested correction of inventorship, as set forth in this petition, adding Gary A. Schultz, Thomas N. Corso, and Stephen Lowes as co-inventors.

Date: 10-17-03



Gregory J. Galvin

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees	:	Moon et al.	}	Examiner:
Patent No.	:	6,245,227 B1		Art Unit:
Issued	:	June 12, 2001		
Serial No.	:	09/156,037		
Filed	:	September 17, 1998		
For	:	INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD		

STATEMENT OF THOMAS R. KURZ
ON BEHALF OF ADVION BIOSCIENCES, INC.

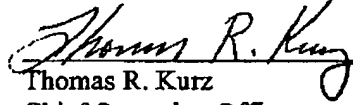
Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

1. I, Thomas R. Kurz, am Chief Operating Officer of Advion BioSciences, Inc. located at 15 Catherwood Road, Ithaca, New York 14850 and have the authority to act on behalf of Advion BioSciences, Inc.
2. As set forth in the assignment form (copy enclosed), certain co-inventors of the above-identified patent have assigned their interests in the same to Advion BioSciences, Inc. It is my understanding that the assignment from Gary A. Schultz, Thomas N. Corso, and Stephen Lowes to Advion BioSciences, Inc. is being filed in the U.S. Patent and Trademark Office at the same time as this paper.
3. Advion BioSciences, Inc., as a co-assignee, agrees to the requested correction of inventorship as set forth in the accompanying Petition for Correction of Inventorship in Patent under 37 C.F.R. § 1.324(a).
4. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and

further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 17 OCTOBER 2003


Thomas R. Kurz
Chief Operating Officer
Advion BioSciences, Inc.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patentees	:	Moon et al.)	Examiner:
Patent No.	:	6,245,227 B1)	
Issued	:	June 12, 2001)	Art Unit:
Serial No.	:	09/156,037)	
Filed	:	September 17, 1998)	
For	:	INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD)	

STATEMENT OF GREGORY J. GALVIN ON BEHALF OF
KIONIX, INC.

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:


1. I, Gregory J. Galvin, am the President and CEO of Kionix, Inc., located at 36 Thornwood Drive, Ithaca, New York 14850 and have the authority to act on behalf of Kionix, Inc.

2. As set forth in the assignment forms (copy enclosed), certain co-inventors of the above-identified patent have assigned their interests in the same to Kionix, Inc. The assignment from James E. Moon, Timothy J. Davis, and Gregory J. Galvin was recorded in the U.S. Patent and Trademark Office at Reel/Frame No. 9604/0396. The Memorandum Regarding Assignment of Patent was recorded with the U.S. Patent and Trademark Office at Reel/Frame No. 013922/0008.

3. Kionix, Inc., as a co-assignee, agrees to the requested correction of inventorship as set forth in the accompanying Petition for Correction of Inventorship in Patent under 37 C.F.R. § 1.324(a).

4. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the above-identified patent.

Date: October 17, 2007


Gregory J. Galvin
President and CEO
36 Thornwood Drive
Ithaca, New York 14850



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

MARCH 16, 1999

PTAS

BROWN, PINNISI AND MICHAELS, PC
CHRISTOPHER R. PASTEL
400 M&T BANK BUILDING
118 NORTH TIOGA STREET
ITHACA, NEW YORK 14850



100910230A

MAR 24 1999

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/23/1998

REEL/FRAME: 9604/0396

NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GALVIN, GREGORY J.

DOC DATE: 11/13/1998

ASSIGNOR:

MOON, JAMES E.

DOC DATE: 11/13/1998

ASSIGNOR:

DAVIS, TIMOTHY J.

DOC DATE: 11/13/1998

ASSIGNEE:

KIONIX, INC.

22 THORNWOOD DRIVE

ITHACA, NEW YORK 14850-1263

SERIAL NUMBER: 09156037

FILING DATE: 09/17/1998

PATENT NUMBER:

ISSUE DATE:

**RECORDATION FORM COVER SHEET
PATENTS ONLY**

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

- ☒ New
☐ Resubmission (Non-Recordation)
Document ID#
☐ Correction of PTO Error
Reel # Frame #
☐ Corrective Document
Reel # Frame #

Conveyance Type

- ☒ Assignment ☐ Security Agreement
☐ License ☐ Change of Name
☐ Merger ☐ Other
U.S. Government
(For Use ONLY by U.S. Government Agencies)
☐ Departmental File ☐ Secret File

Conveying Party(ies)

☒ Mark if additional names of conveying parties attached Execution Date
Month Day Year

Name (line 1) James E. Moon

11 13 1998

Name (line 2)

Second Party

Name (line 1) Timothy J. Davis

Execution Date
Month Day Year

11 13 1998

Name (line 2)

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) Kionix, Inc.

Name (line 2)

Address (line 1) 22 Thornwood Drive

Address (line 2)

Address (line 3) Ithaca

New York

14850-1263

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

FOR OFFICE USE ONLY

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

FORM PTO-1619C
Expires 05/30/99
OMB 0651-0027

RECORDATION FORM COVER SHEET
CONTINUATION
PATENTS ONLY

U.S. Department of Commerce
Patent and Trademark Office
PATENT

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1) Gregory J. Galvin

Execution Date
Month Day Year

11 13 1998

Name (line 2)

Execution Date
Month Day Year

Name (line 1)

Name (line 2)

Name (line 1)

Name (line 2)

Receiving Party(ies)

☐ Mark if additional names of receiving parties attached

Enter additional Receiving Parties

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

Correspondent Name and Address

Area Code and Telephone Number **(807) 256-2000**

Name **Brown, Pinnisi and Michaels, PC**

Address (line 1) **400 M&T Bank Building**

Address (line 2) **118 North Tioga Street**

Address (line 3) **Ithaca, New York 14850**

Address (line 4)

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

1

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

09/156,037

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number
only if a U.S. Application Number
has not been assigned.

PCT PCT PCT
PCT PCT PCT

Number of Properties

Enter the total number of properties involved.

1

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ **40.00**

Method of Payment:
Deposit Account

Enclosed ☒ Deposit Account ☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

02-0910

Authorization to charge additional fees:

Yes ☒ No ☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Christopher R. Pastel

Name of Person Signing


Signature

November 19, 1998

Date

ASSIGNMENT AND AGREEMENT

For value received, I, James E. Moon, of Ithaca in the State of New York and Timothy J. Davis, of Trumansburg in the State of New York and Gregory J. Galvin, of Ithaca in the State of New York, hereby sell, assign and transfer to Kionix, Inc., having an office at 22 Thornwood Drive, Ithaca, New York 14850-1263, and its successors, assigns and legal representatives (hereinafter referred to as the "Assignee"), the entire right, title and interest, for the United States of America, in and to certain inventions related to the "Integrated Monolithic Microfabricated Electrospray and Liquid Chromatography System and Method" described in an application for Letters Patent of the United States, Serial No. 09/156,037 filed on September 17, 1998, and all the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and I also concurrently hereby sell, assign and transfer to Assignee the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

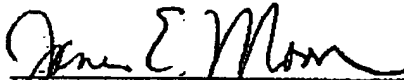
I authorize Assignee to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from me, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

I hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of Assignee to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.


I request that any and all patents for said inventions be issued to Assignee in the United States and in all countries foreign to the United States, or to such nominees as Assignee may designate.

I agree that, when requested, I shall, without charge to Assignee, but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.

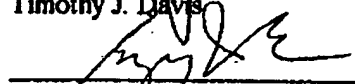
Date: 11/13/98

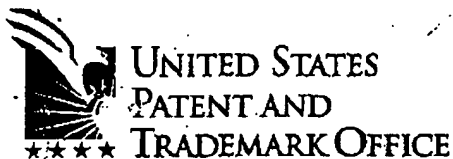

James E. Moon

Date: 11/13/98


Timothy J. Davis

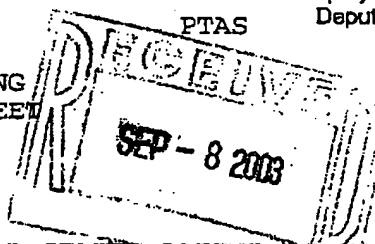
Date: 11/13/98


Gregory J. Galvin



SEPTEMBER 02, 2003

BROWN & MICHAELS PC
400 M&T BANK BUILDING
118 NORTH TIOGA STREET
ITHACA, NY 14850



Deputy Under Secretary of Commerce For Intellectual Property and
Deputy Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov



102413150A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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RECORDATION DATE: 04/07/2003

REEL/FRAME: 013922/0008

NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

CALIENT OPTICAL COMPONENTS, INC.

DOC DATE: 03/18/2002

ASSIGNEE:

KIONIX, INC.
36 THORNWOOD DRIVE
ITHACA, NEW YORK 14850

SERIAL NUMBER: 09156037

FILING DATE: 09/17/1998

PATENT NUMBER: 6245227

ISSUE DATE: 06/12/2001

SHARON LATIMER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

04-09-2003

Form PTO-1595
(Rev. 03/01)

R

OMB No. 0651-0027 (exp. 5/31/2002)

Tab settings



102413150

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Calient Optical Components, Inc.

4-7-03

2. Name and address of receiving party(ies)

Name: Klonix, Inc.

Internal Address: _____

Street Address: 36 Thornwood Drive

City: Ithaca State: NY Zip: 14850

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other _____

Execution Date: 03/18/02

Additional name(s) & address(es) attached? ☐ Yes ☐ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s) _____

B. Patent No.(s) 6,245,227

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Brown & Michaels PC

Internal Address: _____

Street Address: 400 M&T Bank Building

118 North Tioga Street

City: Ithaca State: NY Zip: 14850

6. Total number of applications and patents involved: ☐

7. Total fee (37 CFR 3.41).....\$ 40.00

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

02-0910

DO NOT USE THIS SPACE

9. Signature.

Michael F. Brown

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and documents: 2

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

04/09/2003 BTOM11 00000057 6245227

01 FC:B021

40.00 DP

OFFICE OF PUBLIC RECORDS
2003 APR -7 PM 2:07
FINANCE SECTION

MEMORANDUM REGARDING ASSIGNMENT OF PATENT
U.S. Patent Number 6,245,227

This Memorandum Regarding Assignment of Patent is hereby submitted to the U.S. Patent and Trademark Office in order to record the transfer by a separate Patent Agreement as of March 18, 2002 of all right, title and interest in U.S. Patent Number 6,245,227 entitled "Integrated Monolithic Microfabricated Electropray and Liquid Chromatography System and Method " (the "Patent").

Relevant background of that assignment is as follows:

- An assignment was previously filed in the USPTO, recorded at Reel 9604 / Frame 0396, assigning the application upon which the Patent was issued ("the Application") from the inventors, James E. Moon, Timothy J. Davis and Gregory J. Galvin, to "Kionix, Inc."
- As of December 29, 2000, the "Kionix, Inc." that was named in the assignment merged with and into Calient Networks, Inc., a Delaware corporation with offices at 5853 Rue Ferrari, San Jose, CA 95138. The "Kionix, Inc." in the assignment ceased to exist as a result of that merger, and the Application became owned by Calient Networks, Inc.
- Calient Networks, Inc. formed a wholly-owned subsidiary, Calient Optical Components, Inc., a Delaware corporation with offices at 22 Thornwood Drive, Ithaca, NY 14850 ("ASSIGNOR"), and transferred its rights in the Application to ASSIGNOR pursuant to a Contribution and Assumption Agreement between Calient Networks, Inc. and ASSIGNOR effective December 29, 2000.
- The Patent issued on June 12, 2001, while ASSIGNOR held title to the Application.
- ASSIGNOR transferred its rights in the Patent to Kionix, Inc., a Delaware corporation with its principal place of business at 36 Thornwood Drive, Ithaca, NY 14850 ("ASSIGNEE") by Patent Agreement between those parties effective March 18, 2002. ASSIGNEE is a different corporation than the initial assignee of the Application, but has the same name (acquired after "Kionix, Inc." ceased to exist as a result of the above-referenced merger).
- There have been no further assignments of the Patent by ASSIGNEE.

As a result of the foregoing, ASSIGNEE "Kionix, Inc." should be designated as the proper assignee of the Patent on the records of the U.S. Patent and Trademark Office.

Calient Optical Components, Inc.

Kionix, Inc.

By: William Zarella
Name: William Zarella
Title: vP + CFO

By: Michael D. Pennisi
Name: Michael D. Pennisi
Title: Secretary + General Counsel

ASSIGNMENT

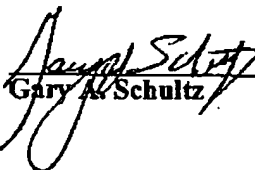
WHEREAS, We, Gary A. Schultz, a citizen of the United States, residing at 520 Warren Place, Ithaca, New York 14850, Thomas N. Corso, a citizen of the United States, residing at 622 Scofield Road, Groton, New York 13073; and Stephen Lowes, a citizen of the United Kingdom, residing at 418 Ferguson Road, Freeville, New York 13068; have invented certain new and useful improvements in **INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD** for which an application for Letters Patent has been filed in the United States, which issued as U.S. Patent No. 6,245,227 B1 on June 12, 2001;

AND WHEREAS, Advion BioSciences, Inc., with its principal place of business at 15 Catherwood Road, Ithaca, New York 14850, desires to acquire the entire right, title and interest in and to the said improvements and the said Application and Patent:

NOW, THEREFORE, for good and valuable consideration, including salary or payment for the making of inventions, or employee benefits, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said Advion BioSciences, Inc., its successors, legal representatives and assigns, the entire right, title and interest throughout the world in, to and under the said improvements, and the said application and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said Advion BioSciences, Inc., its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we will communicate to the said Advion BioSciences, Inc., its successors, legal representatives and assigns, any facts known to us respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said Advion BioSciences, Inc., its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.


IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 13 day of October, 2003.


Gary A. Schultz

STATE OF NEW YORK
COUNTY OF TOMPKINS SS:

This 13 day of OCTOBER 2003, before me personally came the above-named Gary A. Schultz, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

SANDRA G. WALTHER
Notary Public, State of New York
No. 6018112
Qualified in Tompkins County
Commission Expires Dec. 28, 2006


Notary Public
Commission expires on DEC. 28, 2006


IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day
of OCTOBER, 2003.


Thomas N. Corso

STATE OF NEW YORK
COUNTY OF TOMPKINS SS:

This 10 day of OCTOBER, 2003, before me personally came the
above-named Thomas N. Corso, to me personally known as the individual who executed the
same of his/her own free will for the purposes therein set forth.

SANDRA G. WALTHER
Notary Public, State of New York
No. 6918112
Qualified in Tompkins County
Commission Expires Dec. 28, 20 06


Notary Public
Commission expires on DEC. 28, 2006

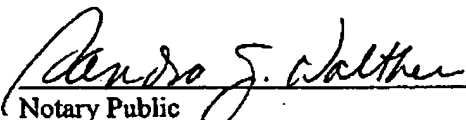
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day
of OCTOBER, 2003.


Stephen Lowes

STATE OF NEW YORK
COUNTY OF TOMPKINS SS:

This 10 day of OCTOBER, 2003 before me personally came the
above-named Stephen Lowes, to me personally known as the individual who executed the
same of his/her own free will for the purposes therein set forth.

SANDRA G. WALTHER
Notary Public, State of New York
No. 6918112
Qualified in Tompkins County
Commission Expires Dec. 28, 20 06


Notary Public
Commission expires on DEC. 28, 2006

Form PTO-1595
(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

Tab settings ⇌ ⇌ ⇌

RECORDATION FORM COVER SHEET
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Gary A. Schulz
Thomas N. Corso
Stephen Lowes

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 10/13/03 and 10/10/03

2. Name and address of receiving party(ies)

Name: Advion BioSciences, Inc.

Internal Address: _____

Street Address: 15 Catherwood Road

City: Ithaca State: NY Zip: 14850

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s) _____

B. Patent No.(s) 6,245,227

Additional numbers attached? ☐ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Brown & Michaels, PC

Internal Address: _____

Street Address: 400 M & T Bank Building
118 North Tioga St.

City: Ithaca State: NY Zip: 14850

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number:

02-0910

DO NOT USE THIS SPACE

9. Signature.

Michael F. Brown

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and documents: 2

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

ASSIGNMENT

WHEREAS, We, Gary A. Schultz, a citizen of the United States, residing at 520 Warren Place, Ithaca, New York 14850, Thomas N. Corso, a citizen of the United States, residing at 622 Scofield Road, Groton, New York 13073; and Stephen Lowes, a citizen of the United Kingdom, residing at 418 Ferguson Road, Freeville, New York 13068, have invented certain new and useful improvements in **INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD** for which an application for Letters Patent has been filed in the United States, which issued as U.S. Patent No. 6,245,227 B1 on June 12, 2001;

AND WHEREAS, Advion BioSciences, Inc., with its principal place of business at 15 Catherwood Road, Ithaca, New York 14850, desires to acquire the entire right, title and interest in and to the said improvements and the said Application and Patent:

NOW, THEREFORE, for good and valuable consideration, including salary or payment for the making of inventions, or employee benefits, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said Advion BioSciences, Inc., its successors, legal representatives and assigns, the entire right, title and interest throughout the world in, to and under the said improvements, and the said application and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said Advion BioSciences, Inc., its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we will communicate to the said Advion BioSciences, Inc., its successors, legal representatives and assigns, any facts known to us respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said Advion BioSciences, Inc., its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 13 day of October, 2003.


Gary A. Schultz

STATE OF NEW YORK
COUNTY OF TOMPKINS SS:

This 13 day of OCTOBER 2003, before me personally came the above-named Gary A. Schultz, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

SANDRA G. WALTHER
Notary Public, State of New York
No. 6018112
Qualified in Tompkins County
Commission Expires Dec. 28, 2006


Notary Public
Commission expires on DEC. 28, 2006

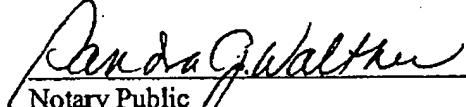
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day
of October, 2003.


Thomas N. Corso

STATE OF NEW YORK
COUNTY OF TOMPKINS SS:

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same of his/her own free will for the purposes therein set forth.

SANDRA G. WALTHER
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Commission Expires Dec. 28, 20 06


Notary Public
Commission expires on DEC. 28, 2006

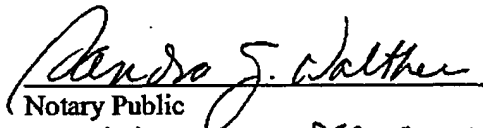
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day
of OCTOBER, 2003.

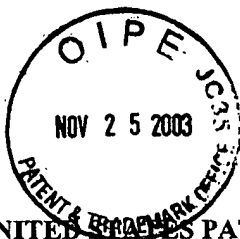

Stephen Lowes

STATE OF NEW YORK
COUNTY OF TOMPKINS SS:

This 10 day of OCTOBER, 2003 before me personally came the
above-named Stephen Lowes, to me personally known as the individual who executed the
same of his/her own free will for the purposes therein set forth.

SANDRA G. WALTHER
Notary Public, State of New York
No. 6018112
Qualified in Tompkins County
Commission Expires Dec. 28, 20 06


Notary Public
Commission expires on DEC. 28, 2006



PATENT
Docket No.: 200701/1037

RECEIVED
DEC 08 2003
TC 1700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) :	Moon et al.)	Examiner:
)	E. Therkorn
Serial No. :	09/970,718)	
)	Art Unit:
Cnfrm. No. :	5229)	1723
)	
Filed :	October 5, 2001)	
)	
For :	INTEGRATED MONOLITHIC)	
	MICROFABRICATED ELECTROSPRAY AND)	
	LIQUID CHROMATOGRAPHY SYSTEM AND)	
	METHOD)	

REQUEST FOR EXPRESS ABANDONMENT
PURSUANT TO 37 CFR 1.138

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 CFR § 1.138, Applicants respectfully request that the above-identified application be expressly abandoned.

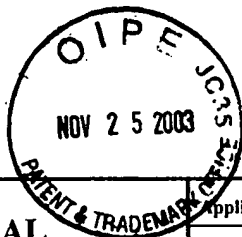
Respectfully submitted,

Dated: October 8, 2003

Michael L. Goldman
Registration No. 30,727

Nixon Peabody LLP
Clinton Square, P. O. Box 31051
Rochester, New York 14603
Telephone: (585) 263-1304
Facsimile: (585) 263-1600

Certificate of Mailing - 37 CFR 1.8(a)	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450, on the date below.	
<u>Nov 27, 2003</u> Date	<u>Ruth R. Smith</u> Ruth R. Smith



RECEIVED
DEC 08 2003
TC 1700

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/970,718	
	Filing Date	October 5, 2001	
	First Named Inventor	Moon	
	Group Art Unit	1723	
	Examiner Name	E. Therkorn	
Total Number of Pages in This Submission	2	Attorney Docket Number	200701/1037

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input checked="" type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> A copy of the Notice to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Application Data Sheet <input type="checkbox"/> Request for Corrected Filing Receipt with Enclosures <input checked="" type="checkbox"/> A self-addressed, prepaid postcard for acknowledging receipt <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks		<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 14-1138 for the above identified docket number.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Joseph M. Noto Nixon Peabody LLP Clinton Square, P.O. Box 31051 Rochester, New York 14603-1051 Telephone: (585) 263-1601 Fax: (585) 263-1600
Signature	 Registration No. 32,163
Date	11-24-03

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]	
I hereby certify that this correspondence is being:	
<input checked="" type="checkbox"/> deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop _____, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450	
<input type="checkbox"/> transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) _____	
Date	Nov. 24, 2003
Signature	
Typed or printed name Ruth R. Smith	

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 40.00)

Complete if Known

Application Number 6,245,227
Filing Date 06/12/2001
First Named Inventor Moon et al.
Examiner Name
Art Unit
Attorney Docket No. KNX-5

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

02-0910

Brown & Michaels, PC

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$ 0.00)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	9.00	0.00
Multiple Dependent	-3** =	43.00	0.00

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 0.00)

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	56	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	840	2503	320	Plant issue fee	
1480	130	1480	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40.00
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	800	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY

Name (Print/Type) Michael F. Brown

Registration No. 29,619
(Attorney/Agent)

(Complete if applicable)

Telephone (607) 258-2000

Signature

Date

11-6-03

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 130.00

Complete if Known

Application Number 6,245,227
Filing Date 06/12/2001
First Named Inventor Moon et al.
Examiner Name
Art Unit
Attorney Docket No. KNX-5

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

02-0910

Brown & Michaels, PC

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
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1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$) 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below		Fee Paid
Total Claims	<input type="text"/>	-20** =	<input type="text"/>	X	9.00	= 0.00
Independent Claims	<input type="text"/>	- 3** =	<input type="text"/>	X	43.00	= 0.00
Multiple Dependent	<input type="text"/>					

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	130.00
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130.00

SUBMITTED BY

Name (Print/Type) Michael F. Brown Registration No. 29,619 Telephone (607) 256-2000
Signature [Signature] (Attorney/Agent) Date 11-6-03

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ASSIGNMENT OF PATENT BY KIONIX, INC.

WHEREAS, Kionix, Inc., a Delaware corporation ("**Kionix**") and Advion Biosciences, Inc., a Delaware corporation ("**Advion**"), have entered into a certain License Agreement, dated October 17, 2003 (the "**License Agreement**");

WHEREAS, Kionix owns certain rights by assignment in and to an issued U.S. patent entitled "Integrated Monolithic Microfabricated Electrospray and Liquid Chromatography System and Method," issued on June 12, 2001 and having Patent No. 6,245,227 (the "**Patent**"); and

WHEREAS, Kionix and Advion have agreed pursuant to the License Agreement that Kionix shall assign to Advion a full, joint and undivided right, title and interest in and to all of Kionix's right, title and interest in and to the Patent;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged by Kionix, Kionix does hereby sell, assign, transfer and set over unto Advion, a full, joint and undivided right, title and interest in and to all of Kionix's right, title and interest in and to the Patent and all reissues, substitutions, renewals, substitutions, confirmations, supplementary protection certificates, and term extensions thereof.

This Assignment shall not alter or otherwise affect the rights and obligations of the Parties under the License Agreement, and shall be made part of, and subject to the terms of, the License Agreement.

IN WITNESS WHEREOF, Kionix has executed this Assignment effective as October 17, 2003.

KIONIX, INC.

By 

Gregory J. Galvin, Ph.D.
President and CEO